

Procedural Requirements Checklist

*****Form 5300*****

Use this list to assure that your submitted package is complete. Failure to supply the appropriate information may result in a delay in the processing of the application.

- 1. Is Form 8717, User Fee for Employee Plan Determination Letter Request, attached to your submission?
- 2. Is the appropriate user fee for your submission attached to Form 8717?
- 3. If appropriate, is Form 2848, Power of Attorney and Declaration of Representative, or a privately designated authorization attached? (For more information, see the **Disclosure Request by Taxpayer** in the instructions.)
- 4. Is a copy of your plan's latest determination letter, if any, attached?
- 5. Is the Employer Identification Number (EIN) of the **plan sponsor** (NOT the trust's EIN) entered on line 1b?
- 6. Does line 4d list the year in which the plan originally became effective?
- 7. Is page one of the application signed and dated?
- 8. Have interested parties been given the required notification of this application? (See instructions)
- 9. If you are requesting **a ruling** as an **Affiliated Service Group**, have you included the information requested in the instructions?
 - NOTE: You can request a ruling from the IRS as to whether or not you are an **Affiliated Service Group** by listing your request on either line 3 of Form 5300 or by entering code 3 on line 6a as "Not Certain".
- 10. If you answered "Yes" to line(s) 6a and/or line 6b, have you included the information requested in the instructions?
- 11. **For Multiple-Employer Plans:** Have you included the required information as specified in the instructions under **Specific Plans-Additional Requirements**?

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- 12. **For Partial Termination Requests:** Have you included the required information as specified in the instructions under **Type of Determination Letter Requested, Partial Termination**?
- 13. If you answered “Yes” to line 8a, have you included the requested information?
- 14. Is Schedule Q, (Form 5300) Nondiscrimination Requirements, attached?
- 15. Are all appropriate demonstrations attached to the Schedule Q?
(See Instructions for Schedule Q)
- 16. Have you included a copy of the plan, trust, and all amendments since your last determination letter?
- 17. **For Employee Stock Ownership Plans (ESOP):** Have you attached Form 5309, Application for Determination of Employee Stock Ownership Plan, to your submission?